

CY 2016 ANNUAL OCCUPATIONAL SAFETY & HEALTH REPORT TO THE SECRETARY OF LABOR

APPENDIX 4

SAFETY & HEALTH MANAGEMENT SYSTEM (SHMS) SELF-EVALUATION

For each of the 30 attributes below, please rate your agency based on the current reporting period experience. All attributes are applicable to federal agencies, regardless of mission or size. Please use the descriptors of the safety and health attributes, provided in Attachment 1 to this appendix, to aid your rating efforts for each attribute. Indicate your rating of each attribute by checking the appropriate rating box. **Please include a detailed narrative with examples to support the rating you provided, including elements rated with an 'NA'.**

The rating system is as follows:

Attribute Rating System

Rating	Definition
0	The attribute does not exist.
1	The attribute needs major improvements.
2	The attribute needs minor improvement.
3	The attribute is highly effective.
NA	The attribute is not applicable.

I. HAZARD ANTICIPATION & DETECTION

0 = Does Not Exist 1 = Needs Major Improvement 2 = Needs Minor Improvement 3 = Is Highly Effective NA = Not Applicable

1. A comprehensive, baseline hazard survey has been conducted within the past five (5) years.

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Narrative The next survey is scheduled for 2017.

2. Effective safety and health self-inspections are performed regularly.

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Narrative The Agency performs periodic OSH inspections.

3. Effective surveillance of established hazard controls is conducted.

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Narrative ESOs assigned to various Agency components monitor the implementation of hazard controls.

4. Change analysis is performed whenever a change in facilities, equipment, materials, or processes occurs.

☐ ☐ ☒ ☐ ☐

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Narrative Keeping up with change is always a challenge and requires ongoing intervention and outreach efforts.

5. Safety Data Sheets (aka MSDSs) are used to reveal potential hazards associated with chemical products in the workplace.
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|--------------------------|--------------------------|--------------------------|-------------------------------------|--------------------------|
| ☐ | ☐ | ☐ | ☒ | ☐ |
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Narrative Safety Data Sheets are available for use and incorporated into training courses.

II. HAZARD PREVENTION & CONTROL

- | | 0 = Does Not Exist | 1 = Needs Major Improvement | 2 = Needs Minor Improvement | 3 = Is Highly Effective | NA = Not Applicable |
|--|--------------------|-----------------------------|-----------------------------|-------------------------|---------------------|
|--|--------------------|-----------------------------|-----------------------------|-------------------------|---------------------|
6. Feasible engineering controls are in place.
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|--------------------------|--------------------------|--------------------------|-------------------------------------|--------------------------|
| ☐ | ☐ | ☐ | ☒ | ☐ |
|--------------------------|--------------------------|--------------------------|-------------------------------------|--------------------------|
- Narrative* Engineering controls are always the preferred mitigation for safety hazards unless it is not feasible or resource limits require a combination of PPE and or administrative controls.

7. Effective safety and health rules, and work practices are in place.
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| ☐ | ☐ | ☐ | ☒ | ☐ |
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Narrative ESD ESOs strive to ensure that occupational safety and health regulations are adhered to at Agency facilities.

8. Applicable OSHA-mandated programs are effectively in place.
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Narrative Keeping up with change is always a challenge and requires ongoing intervention and outreach efforts.

9. An effective procedure for tracking hazard correction is in place.
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|--------------------------|--------------------------|-------------------------------------|--------------------------|--------------------------|
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Narrative This will be addressed in a 2017 comprehensive IT initiative to improve process and records management.

III. PLANNING & EVALUATION

- | | 0 = Does Not Exist | 1 = Needs Major Improvement | 2 = Needs Minor Improvement | 3 = Is Highly Effective | NA = Not Applicable |
|--|--------------------|-----------------------------|-----------------------------|-------------------------|---------------------|
|--|--------------------|-----------------------------|-----------------------------|-------------------------|---------------------|
10. Hazard incidence data are effectively analyzed.
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|--------------------------|--------------------------|-------------------------------------|--------------------------|--------------------------|
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Narrative An IT upgrade to improve the current incident review process is underway to include web-based options.

11. An action plan designed to accomplish the organizations safety and health objectives is in place. ☐ ☐ ☒ ☐ ☐

Narrative ESOs are responsible for implementing the safety program specific to their respective customer's needs and mission requirements.

12. A review of the overall safety and health management system is conducted at least annually. ☐ ☐ ☐ ☒ ☐

Narrative ESD managers are responsible for evaluating the performance of the ESOs under their respective direction and supervision.

IV. ADMINISTRATION & SUPERVISION

0 = Does Not Exist 1 = Needs Major Improvement 2 = Needs Minor Improvement 3 = Is Highly Effective NA = Not Applicable

13. Safety and health program tasks are each specifically assigned to a person or position for performance or coordination. ☐ ☐ ☐ ☒ ☐

Narrative ESD officers are program managers for their respective areas of responsibility.

14. Individuals with assigned safety and health responsibilities have the necessary knowledge, skills, and timely information to perform their duties. ☐ ☐ ☐ ☒ ☐

Narrative ESD has incorporated professional credentialing into the performance and promotion benchmarks for all ESOs.

15. Individuals with assigned safety and health responsibilities have the authority to perform their duties. ☐ ☐ ☐ ☒ ☐

Narrative ESOs have authority to perform their duties and the support of management as needed.

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16. Individuals with assigned safety and health responsibilities have the resources to perform their duties.

☐ ☐ ☐ ☒ ☐

Narrative Resources are available to all ESOs at the corporate and program level.

17. Organizational policies promote the performance of safety and health responsibilities.

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Narrative Additional internal Agency Regulations reiterate the requirements in 29 CFR 1960.

V. SAFETY & HEALTH TRAINING

The *Occupational Safety and Health Training Guidelines For Federal Agencies* guidelines are available at: http://www.osha.gov/dep/facosh/osh_training_guidelines2014.pdf.

0 = Does Not Exist 1 = Needs Major Improvement 2 = Needs Minor Improvement 3 = Is Highly Effective NA = Not Applicable

18. Employees receive appropriate safety and health training.

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Narrative Employees receive the appropriate OSH training by a competent instructor.

19. New employee orientation includes applicable safety and health information.

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Narrative New employee orientation needs improvement. A new web-based training tool is planned for 2017.

20. Supervisors receive training that covers the supervisory aspects of their safety and health responsibilities.

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Narrative Supervisors receive training in classroom instruction and through a web-based training tool.

VI. MANAGEMENT LEADERSHIP

0 = Does Not Exist 1 = Needs Major Improvement 2 = Needs Minor Improvement 3 = Is Highly Effective NA = Not Applicable

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21. Top management policy establishes clear priority for safety and health. ☐ ☐ ☐ ☒ ☐

Narrative As indicated in CIA Agency Regulations.

22. Top management provides competent safety and health staff support to line managers and supervisors. ☐ ☐ ☐ ☒ ☐

Narrative The ESD has a robust budget and top management support.

23. Managers delegate the authority necessary for personnel to carry out their assigned safety and health responsibilities effectively. ☐ ☐ ☐ ☒ ☐

Narrative Managers are involved in safety compliance, but delegate authority to staff with support from the component environmental safety officer.

24. Managers allocate the resources needed to properly support the organization's SHMS. ☐ ☐ ☒ ☐ ☐

Narrative Within the CIA, each components funds their respective ESH program.

25. Managers assure that appropriate safety and health training is provided. ☐ ☐ ☐ ☒ ☐

Narrative Managers rely on their component environmental safety officer for guidance and requirements.

26. Top management is involved in the planning and evaluation of safety and health performance. ☐ ☐ ☐ ☒ ☐

Narrative Environmental safety officers work with their respective component management to implement safety initiatives as well as obtain resources.

VII. EMPLOYEE PARTICIPATION

0 = Does Not Exist 1 = Needs Major Improvement 2 = Needs Minor Improvement 3 = Is Highly Effective NA = Not Applicable

27. There is an effective process to involve employees in safety and health issues. ☐ ☐ ☐ ☒ ☐

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Narrative Environmental safety officers engage their management and program staff to comply with requirements, complete training and participate in process improvement.

28. Employees are involved in organizational decision-making in regard to the allocation of safety and health resources.

☐ ☐ ☐ ☒ ☐

Narrative Environmental safety officers engage their management and program staff to comply with requirements, complete training and participate in process improvement.

29. Employees are involved in organizational decision-making in regard to safety and health training.

☐ ☐ ☐ ☒ ☐

Narrative Environmental safety officers engage their respective programs for safety compliance and critical decision-making with regard to resource allocation.

30. Employees participate in the evaluation of safety and health performance.

☐ ☐ ☒ ☐ ☐

Narrative Environmental safety officers engage their management and program staff to comply with requirements, complete training and participate in process improvement.